



STALLMAN & POLLOCK LLP
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362/4
HLD
7/29/03

Application of: James Peterson et al.

Atty Docket No. SCHB-2700

Application No.: 09/654,627 ✓

Filed: September 5, 2000

For: SYSTEM AND METHOD FOR TAX SENSITIVE PORTFOLIO OPTIMIZATION

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Transmittal herewith is an amendment in the above-identified application.

The fee has been calculated as shown below.

	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NO. PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDITIONAL FEE
TOTAL	1	MINUS	26	0	x \$18 =	\$0
INDEP.	1	MINUS	5	0	x \$84 =	\$0
FIRST PRESENTATION OF MULTIPLE DEP CLAIMS					+ \$280	\$0
TOTAL						\$0

Small Entity 50% Filing Fee Reduction (if applicable) \$0

- * If the entry in Col. 1 is less than the entry in Col. 2, write "0" in Col. 3
** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.
*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, write "3" in this space. The "Highest Number Previously Paid For" (Total or Independent is the highest number found from the equivalent box in Col. 1 of a prior amendment or the number of claims originally filed.)

- ☐ No additional fee is required.
- ☒ Applicant(s) hereby petition(s) for a one-month extension of time in which to file the present response and enclose(s) herewith the necessary fee to accompany this petition. A check in the amount of \$110.00 is attached.
- ☒ Please charge any additional fees, including any fees necessary for extensions of time or credit overpayment to Deposit Account No. 50-1703, under Order No. SCHB-2700.
A duplicate copy of this sheet is enclosed.

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07/17/2003 HALI11 00000039 09654627

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STALLMAN & POLLOCK LLP

GROUP 3600

Dated: July 14, 2003

By: Brian J. Keating (Reg. No. 39,520)
Attorneys for Applicant(s)

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 July 14, 2003.

Dated: July 14, 2003

By: Georgia K. Stith
Georgia K. Stith

09/654,627



-1-

PATENT

#11/a
7/29/03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

James Peterson et al.

Application No.: 09/654,627

Filed: September 5, 2000

For: SYSTEM AND METHOD FOR TAX
SENSITIVE PORTFOLIO
OPTIMIZATION

Group Art Unit: 7348

Examiner: Sally Shih

**RESPONSE TO OFFICE ACTION
MAILED MARCH 20, 2003**

121 Spear Street, Suite 290
San Francisco, CA 94105
(415) 512-1312

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

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envelope, addressed to: Commissioner for Patents, P.O.
Box 1450, Alexandria, VA 22313-1450 on July 14, 2003.

STALLMAN & POLLOCK LLP

Dated: 07/14/2003

By: Georgia K. Stith

Georgia K. Stith

Sir:

In response to the Office Action mailed March 20, 2003, please amend the above-identified application as follows. Additionally, submitted is a petition for a one-month extension of time to respond to the above-referenced Office Action.

Amendments to the Specification begin on page 2 of this paper.

Amendment to the Claims are reflected in the listing of claims which begins on page 3 of this paper.

Remarks/Arguments begin on page 4 of this paper.

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Atty Docket No.: SCHB-2700